

UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No. E3331.0587/P587 First Inventor Michael Togher Title CREDIT MANAGEMENT FOR ELECTRONIC BROKERAGE SYSTEM Express Mail Label No.	
APPLICATION ELEMENTS <small>See MPEP chapter 800 concerning utility patent application contents.</small>		ADDRESS TO: MS Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small> 2. <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small> 3. <input checked="" type="checkbox"/> Specification [Total Pages 30] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claims - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 6] 5. Oath or Declaration [Total Sheets 4] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 16 completed)</small> i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small> 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> Paper c. <input type="checkbox"/> Statements verifying identity of above copies ACCOMPANYING APPLICATION PAPERS 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS) PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input checked="" type="checkbox"/> Preliminary Remarks 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input type="checkbox"/> Other:	
18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76: <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: 09/563,461 Prior application information: Examiner Ella Colbert Art Unit: 3634			
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.			
19. CORRESPONDENCE ADDRESS			
<input type="checkbox"/> Customer Number: _____ OR <input checked="" type="checkbox"/> Correspondence address below			
Name DICKSTEIN SHAPIRO MORIN & OSHINSKY LLP Steven I. Weisburd			
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Signature <i>Joseph W. Ragusa</i>		Date September 17, 2003	

22389 U.S. PTO
 10 665570
 09/22/03

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003, Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 750.00

Complete if Known

Application Number: Divisional of 09/563,461
Filing Date: Concurrently Herewith
First Named Inventor: Michael Togher
Examiner Name: Not Yet Assigned
Art Unit: N/A
Attorney Docket No.: E3331.0587/P587

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit Card ☐ Money Order ☐ Other ☐ None
Deposit Account:

Deposit Account Number: 50-2215
Deposit Account Name: Dickstein Shapiro Morin & Oshinsky LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) during the pendency of this application
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	750.00
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1) (\$)					750.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims: 3 -20** = 0.00
Independent Claims: 3 -3** = 0.00
Multiple Dependent: 0

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1201	64	2201	42	2202	9	Claims in excess of 20	
1203	280	2203	140	2204	42	Independent claims in excess of 3	
1204	64	2204	42	2205	9	Multiple dependent claim, if not paid	
1205	16	2205	8	2206	42	** Reissue independent claims over original patent	
1206	16	2206	8	2207	42	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) (\$)							0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	2052	25	Surcharge - late filing fee or oath	
1052	50	2052	25	2053	130	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	1812	2,520	Non-English specification	
1812	2,520	1812	2,520	1804	920*	For filing a request for ex parte reexamination	
1804	920*	1804	920*	1805	1,840*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	1251	110	Requesting publication of SIR after Examiner action	
1251	110	1251	110	1252	410	Extension for reply within first month	
1252	410	1252	410	1253	930	Extension for reply within second month	
1253	930	1253	930	1254	1,450	Extension for reply within third month	
1254	1,450	1254	1,450	1255	1,070	Extension for reply within fourth month	
1255	1,070	1255	1,070	1401	320	Extension for reply within fifth month	
1401	320	1401	320	1402	320	Notice of Appeal	
1402	320	1402	320	1403	280	Filing a brief in support of an appeal	
1403	280	1403	280	1451	1,510	Request for oral hearing	
1451	1,510	1451	1,510	1452	110	Petition to institute a public use proceeding	
1452	110	1452	110	1453	1,300	Petition to revive - unavoidable	
1453	1,300	1453	1,300	1501	1,300	Petition to revive - unintentional	
1501	1,300	1501	1,300	1502	470	Utility issue fee (or reissue)	
1502	470	1502	470	1503	630	Design issue fee	
1503	630	1503	630	1460	130	Plant issue fee	
1460	130	1460	130	1607	50	Petitions to the Commissioner	
1607	50	1607	50	1806	180	Processing fee under 37 CFR 1.17(e)	
1806	180	1806	180	8021	40	Submission of Information Disclosure Stmt	
8021	40	8021	40	1809	750	Recording each patent assignment per property (times number of properties)	0
1809	750	1809	750	1810	750	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	1810	750	1801	750	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	1801	750	1802	900	Request for Continued Examination (RCE)	
1802	900	1802	900			Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

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Date

September 17, 2003